

## OVERVIEW: PURPOSE OF TRACKING INFORMATION

---

Effective tracking of subrecipient activity is founded on having complete documentation in the original application and Subrecipient Agreement and then relies on submissions by the subrecipient of payment requests and progress reports, the audit, on-site monitoring visits, and regular communications with the subrecipient. An effective subrecipient tracking system should enable you to answer the following questions throughout the program year:

- How is the National Objective being met by the activity?
- Does the activity continue to meet the eligibility requirements of the CDBG program? How?
- Who is being served by the activity? How many beneficiaries? Characteristics?
- Are the objectives specified in the Subrecipient Agreement being attained?
- Are the services or products specified in the Statement of Work being delivered?
- Is the project budget being met? (By how much is the project over- or under-spent?)
- To what extent is the project schedule being met?
- Are expected levels of quality being maintained in the delivery of products and services?
- Are the subrecipient's Progress Reports and drawdown requests submitted on a timely basis and filled out correctly?
- Are proper records being kept consistent with CDBG regulations?
- Are communications with the subrecipient open, complete, and up to date?

**Tracking systems cannot by themselves replace on-site monitoring of subrecipient performance and regulatory compliance; however, they can make your monitoring more efficient and effective by helping you address the most important issues in a shorter time period.**

The principal sources for this information include:

- Subrecipient Application
- Written Agreement (as a guide to progress)
- Financial Statements
- Audits
- Monthly/Quarterly Progress Reports
- Drawdown (Reimbursement) Requests/Reports
- Record-Keeping Systems/Files
- Monitoring Visits
- Phone and e-mail Conversations
- Consolidated Annual Performance and Evaluation Report (CAPER)